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# **GOVERNMENT OF THE DISTRICT OF COLUMBIA**

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## **RECORDS RETENTION SCHEDULE**

**Board of Ethics and Government Accountability**



**Update: JULY 2021**

# GOVERNMENT OF THE DISTRICT OF COLUMBIA

Office of Public Records

## REQUEST FOR APPROVAL OF AGENCY RECORDS RETENTION SCHEDULE

1. Agency	Board of Ethics and Government Accountability	
2. Schedule No.	DCRS 21-0012	
3. Amendment/ Addendum No		
4. Contact Person		
5. Address		
6. Telephone No.		
7. Action Requested	a.	Approval of agency records retention schedule
	b.	Approval of amendment/addendum to agency retention schedule
c. Remarks		

Signature of Agency Representative

Title

Date

*Sheree DeBerry*

Records Officer

08/05/21

### Approvals

<i>Bill Branch</i> Signature of DC Archivist	<input checked="" type="checkbox"/> Approve	<input type="checkbox"/> Disapprove	<i>8/13/21</i> Date
Signature of Public Records Administrator	<input type="checkbox"/> Approve	<input type="checkbox"/> Disapprove	Date

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# GOVERNMENT OF THE DISTRICT OF COLUMBIA

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## **Introduction to Agency Retention Schedule**

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### **The Importance of Records**

Records are the institutional memory of government. Every agency is responsible for creating and maintaining records that adequately document the organization, functions, policies, procedures, and major activities of the agency. An agency's records should reflect the evolution of agency policies and decisions, provide the information needed by successor officials to make intelligent decisions, and provide a lasting record of the unique contributions of the agency. Proper records must be kept documenting the financial and legal commitments and interests of the government and of its citizens, and to permit oversight of an agency's activities.

### **Records Management**

It is not only important that every agency create and maintain adequate documentation, but also that it provides for the proper disposition of its records by adopting a comprehensive records management program. Such a program establishes controls over records from the time of their creation to the time of their final disposition. It seeks to (a) provide for the timely and systematic removal of inactive records from an agency and the eventual destruction of those of a temporary nature after an appropriate length of time; and (b) identify those records of such historical or other importance that they should be preserved permanently in the District of Columbia Archives. A records management program is vital to the efficient and economical operation of government. Without it, offices would be drowning in records, at tremendous costs to the government in space, filing equipment, staff, and general efficiency of operations.

### **Records Schedule**

The records schedule forms the heart of a good records management system. A schedule identifies those records of continuing value that are suitable for accessioning into the D.C. Archives and authorizes agencies to dispose of those records of temporary importance. A schedule is a detailed timetable that specifies the length of time records should be kept in active and inactive status prior to their final disposition. It prescribes how long a record should be maintained within an office before it may be destroyed, moved to low-cost storage in the D.C. Records Center, or transferred to the D.C. Archives to be preserved permanently.

There are two (2) types of records schedules: (1) an agency retention schedule; and (2) a general records schedule.

- (1) **Agency Retention Schedules** – The attached schedule is an agency retention schedule. It is based on a survey of the specific records created, received, utilized, and maintained in the various offices of your agency, and its disposition instructions are tailored to those records unique to your agency. It provides legal authority for the disposition of official records of your agency alone.
- (2) **General Records Schedule** - In addition to agency records schedules, there are also general records schedules. These schedules provide disposition authority for records common to most or all agencies of government. They cover records relating to personnel, fiscal functions, accounting, budget, procurement, transportation, and other common or housekeeping functions. An agency may implement or utilize the disposition instructions of a general records schedule where applicable or may apply a retention period that differs from that in the general schedule by submitting a retention schedule for that particular record series. However, General Schedules do not apply to documents dated before January 1, 1921. If you have records in your office dated earlier than 1921, please contact the D.C. Archives for an appraisal of those records.

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The general records schedules that have been developed for the District of Columbia are embodied in D.C. General Records Schedules 1-18 and 20-24. The Office of Public Records is currently in the process of updating the DC General Schedule to reflect changes in the government, the implementation of new procedures, policies, and practices, as well technology over the past 30 to 40 years. Changes will be posted, and agency records management officers will be notified.

## **Amending an Agency Records Retention Schedule**

An agency records retention schedule is not a static document, it must be reviewed and revised on a regular basis. The organization of an agency, its functions, and programs are constantly changing, and the schedule must be continually updated to incorporate these changes. Amendments to agency schedules may be initiated either by the agency or by the Office of Public Records. Regulation 1 DCMR 1504.1(h) requires Agencies to review schedule annually to ensure that it is up-to-date and provides for the disposition of all series of records not covered by the general records schedules. In order to understand and apply the records retention schedule for your agency, it is important to define certain terms that are used in records management and archives.

## **What are Public Records?**

Public records are defined by the District of Columbia law as “any document, book, photographic image, electronic data recording, electronic mail, paper, video recording, sound recording, microfilm, computer disk, or other material, regardless of physical form or characteristic, that documents a transaction or activity made, received, or retained pursuant to law or in connection with the transaction of public business by or with any officer or employee of the District.” Records are made or received and utilized by an office as it conducts its business. They relate directly to the mission of an agency and document the functioning of an agency. Although a paper document is the most common form of a record, a record can be of any physical characteristic. Computer tapes and disks, sound and video recordings, photographs and motion picture film, microfilm, maps, and charts, may each constitute an official record. Records as defined above belong to the District of Columbia. In no sense are they the personal property of an individual. They may not be destroyed except under legal procedures established by the government. One of the major purposes of an approved agency records retention schedule is to provide authority for the legal disposition of official records.

## **What is Non-Record Material?**

Not every document in a government office is an official record. The following types of material are usually considered non-record: duplicate copies of documents; pamphlets, periodicals, books, printed reports, and other materials maintained for reference purposes; reference copies of Mayor’s Orders, Mayor’s Memoranda, and the D.C. Register; reading files (“chron files”); copies of memoranda, correspondence, reports, and similar materials received from other agencies that require no action; drafts of reports and correspondence and related working papers that don’t impact or are not considered essential to a final decision regarding policies, laws, and regulations, and that don’t demonstrate the thought processes and reasoning behind making those decisions; blank forms, transmittals, and routing slips; and materials relating to fringe activities of an agency such as charitable fund drives.

Non-record materials are disposable on agency authority alone. If you are unsure as to the status of certain kinds of material, please call the Office of Public Records for assistance.

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## **What are Personal Papers?**

Some officials and employees keep personal papers within their offices. These are documents of an unofficial, private nature that pertain to an individual's personal affairs and do not relate to official business. Such papers might include files accumulated by an official (or employee) before they assumed office, or documents relating to one's private concerns, such as outside business activities or memberships in professional organizations, or personal notes or diaries that are totally unrelated to public business. It is important that such papers be kept apart from official records and that they are clearly labeled as private papers. Please take care to see that personal papers do not become intermingled and confused with official records.

## **Retention Schedule Basic Terms and Use:**

Close Date	The date or timeframe from which no further information may be added to a record.
Cutoff Date	After records close, a date or timeframe is selected as the "cut off", designating when the record becomes inactive. This date starts the retention timeclock and occurs at regular intervals. Please note, close, and cut off may be the same date.
Destroy/Delete	Records may be destroyed or deleted in accordance with DC Code § 2-1701, and Agency policy. Care should be taken to ensure proper destruction of government records.
PHI	Personal Health Information defines the information covered under the HIPAA privacy rule. Federal protections apply to personal health information held by covered entities and gives patients an array of rights with respect to that information. At the same time, the privacy rule is balanced so that it permits the disclosure of personal health information needed for patient care and other important purposes.
PII	Personally, Identifiable information (PII), or Sensitive Personal Information (SPI), as used in US privacy law, is information that can be used on its own or with other information to identify, contact, or locate a single person, or to identify an individual in context.
Remaining Retention in Records Center	Total retention period minus length of time records are maintained on-site. For permanent records, this is the remainder of the period that the records remain in the legal custody of the agency before transferring to the Archives.
Transfer of Records (Physical)	Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the Record Center remain in the legal custody of the Agency. FOIA requests for these records are sent to the Agency, and the Agency is responsible to respond and release information as appropriate.

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Transfer of Records (Legal)	Upon completion of on-site retention, records may be transferred to the Records Center, the DC Archives or deleted. Records transferred to the DC Archives transfer legal custody to the Archives. FOIA requests for these records are the responsibility of the Archives.
Total Retention	The total time a record is to be retained in the legal custody of the District after cut off.
Years in Office	Length of time records are maintained on-site at the Agency after cut off.

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## **Organization**

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Board of Ethics and Government Accountability

## **Policy and Procedures**

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Two hardcopies or a single electronic copy accompany this submission

## **List of Directors**

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### **Office of Government Ethics**

<b>Directors</b>	<b>Start Date</b>	<b>End Date</b>
Darrin P. Sabin (Former Director)	November 2012	July 2017
Brian Flowers (Interim Director)	July 2017	December 2017
Brentton Wolfingbarger (Former Director)	December 2017	December 2019
Rochelle Ford (Interim Director)	January 2020	September 2020
Rochelle Ford (Former Director)	October 2020	April 2021
Ashley Cook (Interim Director)	May 2021	Current

### **Office of Open Government**

<b>Directors</b>	<b>Start Date</b>	<b>End Date</b>
Traci Hughes (Former Director)	April 2013	April 2018
Brian Flowers (Interim Director)	April 2018	July 2018
Niquelle Allen (Current Director)	July 2018	Current

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## **Citations Impacting Retention**

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### **Federal**

None

### **DC Legislation**

DC Code § 2-1701

DC Code § 2-1706

DCMR § 1-1504.1(d)

### **Court Orders**

None *Information verified by General Counsel*

## **Audits Impacting Retention**

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None *Information verified by General Counsel*

## Record Schedule

**Board of Ethics and Government Accountability:** BEGA is an independent agency of the District of Columbia government that investigates alleged ethic laws violations by District government employees and public officials, provides binding ethics advice and conducts mandatory training on the DC Government's Code of Conduct. The Office of Open Government is an independent office within the BEGA, and enforces the Open Meetings Act, monitors the District's Freedom of Information compliance, and aids agencies with implementing open government practices.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
1	Formal Communications (Executive Staff) Formal communications that impact the mission or execution of the mission and programs of the agency. Series includes, but is not limited to, correspondence with the Mayor, Deputy Mayors, City Administrator, City Council, intra-agency, and inter-agency directives. Records are organized chronologically.  Restrictions: None  Media: Paper/Electronic (Secure agency network)  Permanent: Records close when the designated action is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention for 4 years and then transferred to the DC Archives.	Permanent	None	4 Years

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 [schedule number assigned by OPR]

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
2	Public Relations Files (Communications) Text, audio or video recordings of formal speeches, announcements, and remarks to the press. Remarks made at formal ceremonies or during interviews by the agency executive staff and other high-ranking officials concerning agency programs. Restrictions: None Media: Paper /Electronic (Secure agency network)			
a	Formal Interviews: Permanent: Records close upon conclusion of the interview and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.	Permanent	None	None
b	News Releases: May be textual records such as a formal press releases or nontextual records, such as film and video or sound recordings. Restrictions: None. Media: Paper/ Electronic (Secure agency network) Permanent: Records close upon distribution of release and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.	Permanent	None	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
3	Agency Policy and Procedures (Executive Staff) defining operational guidelines. Each Division within the Department arranges its policies in its own way. Restrictions: None Media: Paper and Electronic (Secure agency network) Permanent: Records close when the policy or procedure is superseded or becomes obsolete and cut off at the end of the fiscal year. Retain records on site four years after cut off, then transfer to the D.C. Archives.	Permanent	4 Years	None
4	Schedule of official activities of agency executive staff Restrictions: None Media: Paper / Electronic (Secure agency network) Permanent: Records close at the end of the fiscal year and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.	Permanent	None	4 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
5	<p>Strategic Plans (Performance Management) Plans and supporting documentation utilized to set the strategic direction for the agency including, but not limited to studies, benchmarking of other jurisdictions, and statistical data supporting current and planned future state. These records are organized by subject and date.</p> <p>Restrictions: Restricted</p> <p>Media: Electronic (Secure agency network)</p> <p>Permanent: Records close when the plan is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
6	<p>Performance Reports (Performance Management) The Office of the Chief Operating Officer maintains statistical data regarding the population served, and types of services rendered. Statistics are both quantitative and qualitative in nature. This series does not include employee performance metrics. Records are arranged by topic and year.</p> <p>Restrictions: None</p> <p>Media: Paper / Electronic (Secure agency network/dc.gov)</p>	Permanent	None	4 Years
a	<p>Published</p> <p>Permanent. Records close upon publication of the report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	Unpublished Appraisal: Records close upon completion of the final version of the report and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the DC Archivist for Appraisal.	Appraisal required by DC Archivist		
7	Project Subject Files (Executive Staff) This record documents program-related projects and initiatives. Record consists of all documents and data relating to a specific project from inception to completion. Included are correspondence, memoranda, questionnaires, studies and reports, and related records. Excludes records that impact the mission or vision of the Director's Office which are to be retained permanently. Records are organized by subject. Restrictions: None Media: Paper / Electronic (Secure agency network) Appraisal: Records close upon completion or conclusion of the project and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the DC Archivist for Appraisal.	Appraisal required by DC Archivist		

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
8	<p>Organization Files (Executive Staff) Organizational Charts and reorganization studies that define descriptions of the arrangement and administrative structure of the functional units within the agency. Organized by date.</p> <p>Media: Paper / Electronic (Secure agency network)</p> <p>Permanent: Records close when the version is superseded or becomes obsolete; and cut off at the end of the corresponding Mayor's administration. Records are transferred within 30 days of cut off to the Record Center for retention and will be transferred to the DC Archives after 4 years.</p>	Permanent	None	4 Years
9	<p>Publications (Communication) Publications on various topics of interest or concern that provide insight and awareness. Organized by topic and year.</p> <p>Restrictions: None</p> <p>Media: Paper / Electronic (Secure agency network, dc.gov)</p>	Permanent	None	None
a	<p>Printed Materials</p> <p>Permanent: Records close when published and cut off at the end of the corresponding Mayor's administration. Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	None	None
b	<p>Agency Websites</p> <p>Media: Electronic (dc.gov)</p> <p>Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.</p>	Permanent	1 Quarter	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
c	Social Media Posts  Media: Electronic (Stored on Twitter, LinkedIn, and Facebook)  Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.	Permanent	1 Quarter	None
10	Memorandums of Understanding: (Office of the Director) This record documents agreements between DOC and agencies to supply services. Memorandums of Understanding may cover paid and unpaid services and the record includes but is not limited to scope of work and documentation of responsibilities. This record is organized by agency. Examples of such memorandums are the production of license plates.  Restrictions: None  Media: Electronic (Sales Force)			
a	Under \$100,000  Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. Retain the record for 3 years after cut off, and then destroy.	Temporary 3 Years	3 Years	None
b	\$100,000 +  Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cut off and then destroy.	Temporary 6 Years	6 Years	None

## Office of Government Ethics INVESTIGATIONS

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
11	<b>Investigation Case Files:</b> This record documents investigations of alleged ethics law violations by DC government employees and public officials. Records may include, but are not limited to, transcripts, subpoena requests, bank records, financial records. Case files are organized in chronological order by case number. Media: Paper, Audio, CD, Photos, and Transcripts Restrictions: PII Temporary: Records close after all corrective requirements have been satisfied (including termination of staff) or exhaustion of all appeals, whichever is later. Records cut off at the end of the fiscal year. Retain records for 5 years after cut off and then transfer to the Record Center.			
a	<b>If forwarded for litigation by OAH</b> <b>Temporary: Records close upon final determination or exhaustion of all appeals and cut off at the end of the fiscal year. Retain for 3 years after cut off and then destroy.</b>	Temporary 3 Year	3 Year	None
b	<b>Undocketed Case Files:</b> Are complaints that have ultimately been dismissed due to various reasons including but limited to, illegitimate complaint, lack of jurisdiction, and a lack of sufficient evidence to pursue further action. Media: Paper Restrictions: PII Temporary: Records close upon final determination and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.	Temporary 3 Years	3 Years	None

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**LOBBYIST**

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
12	<b>Lobbyist Registration Forms:</b> This record documents the registration form with the Director of Government Ethics, signed under oath, on or before January 15th of each year, or no later than 15 days after becoming a Lobbyist (and on or before January 15th of each year thereafter). Record includes but is not limited to registrant's – or person lobbying on registrant's behalf – name, permanent and/or temporary address. The registration form also requires the name, address, and nature of the business of any person who compensates the registrant. This record is organized by Last name, First name.  Media: Paper, Electronic Restrictions: PII  Temporary: Records close upon resignation or failure to renew registration and cutoff at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.	Temporary 2 Years	2 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
13	<b>Lobbyist Activity Report:</b> This record documents all active registered lobbyist, any person who communicates directly with any official in the legislative or executive branch of the District Government with the purpose of influencing any legislative action or an administrative decision. This record includes but is not limited to total expenditures on lobbying broken down into categories, written or oral communications with public officials, as well as other information and contributions. This record is organized by Last name First name of registrant.  Media: Electronic Restrictions: PII	Permanent	None Agency may retain a copy	4 Years
14	<b>Lobbyist Periodic Random Audit (LRPA):</b> BEGA conducts approximately 10 random audits of lobbyists each year. The audits include an inspection of the filed lobbying activity report for completion, accuracy, a review of financial records, and other documentation to substantiate disclosures. The results of the audit are made public and, if necessary, OGE may recommend that the lobbyist take corrective action, such as amending filings, or paying fees. Records may be found on the agency website.  Media: Paper Restrictions: PII			

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	<b>Case File</b> Temporary: Records close upon final determination or the non-renewal of the registration and cut off at the end of the fiscal year. Retain records for 3 years after cut off and then submit to the Archivist for Appraisal.	Appraisal by Archivist	3 Years	Appraisal by the Archivist.
b	<b>List published on website</b> Permanent: Records close when published and cut off last day of the quarter (March, June, September, and December). Records are transferred to the DC Archives within 30 days of cut off.	Permanent	1 Quarter	None

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**Ethics**

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
15	<p>Open Meetings Act Litigation Case Files: Record documents Office of Open Government's preparation and litigation of court cases filed by Office of Open Government. Arranged alphabetically by the name of the Agency. Record includes copies of official pleadings, depositions, and hearing transcripts, subpoenas evidence, discovery materials, communications, litigation-hold material, and other records necessary to the litigation.</p> <p>Media: Paper, Electronic</p> <p>Restrictions: PII (Possible PHI)</p> <p>Temporary: Records close upon exhaustion of all appeals and cutoff at the end of the fiscal year. Retain records for 3 years after cut off, then transfer to the Record Center for 9 Years.</p>	Temporary 12 Years	3 Year	9 Years

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## Operations

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
16	<p>Freedom of Information Act Requests:</p> <p>This record documents requests from the public for document (s) to be released under the Freedom of Information Act. Records include the request, a copy of the reply, and all related supporting files. Records are organized in FOIA Express.</p> <p>Restriction: None</p> <p>Media: Electronic (FOIA Express)</p>			
a	<p>Approved Requests</p> <p>Temporary: Records close upon response to the requester and cut off at the end of the fiscal year. Retain records for 2 years after cut off and then destroy.</p>	Temporary 2 Years	2 Years	None
b	<p>Denied Requests</p> <p>Temporary: Records close upon response to the requester and cut off at the end of the fiscal year. Retain records for 5 years after cut off and then destroy.</p>	Temporary 5 Years	5 Years	None
17	<p>Freedom of Information Act Appeals:</p> <p>This record documents requests denied by an agency, commission, or formal office in the District of Columbia to release documents under the Freedom of Information Act. Records include the request, a copy of the denial, and all related supporting files. Records are organized in FOIA Express</p> <p>Restriction: None</p> <p>Media: Electronic (FOIA Express)</p>			

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a	Denied requests appealed to a District official Temporary: Records close upon decision by District official and cut off at the end of the fiscal year. Responses are entered into FOIA Express, and any records held at the originating agency are retained for 4 years after cut off and then destroyed.	Temporary 4 Years	4 Years	None
b	Denied requests appealed to the DC Court of Appeals Temporary: Records close upon decision by the court and cut off at the end of the fiscal year. Responses are entered into FOIA Express, and any records held at the originating agency are retained for 3 years after cut off and then destroyed.	Temporary 3 Years	3 Years	None
18	Financial Disclosure Records: This record documents compliance with the annual requirement that employees who advise, make decisions or participate substantially in areas of contracting, procurement, administration of grants or subsidies, developing policies, land-use planning, inspecting, licensing, policy-making, regulating, or auditing, or acts in areas of responsibility that may create a conflict of interest or appearance of a conflict of interest, as determined by the appropriate agency head, shall file a report including by not limited to the name of each business entity in which the employee or his family has an interest; receives an honoraria, or holds a significant position (Reference DC Code § 1-1162.24 and § 1-1162.25). This record is organized by last name, first name. Restrictions: PII Media: Paper/Electronic (Shared Drive) Temporary: Records close and cut off at the end of the fiscal year. Retain record for 6 years after cut off and then destroy.	Temporary 6 Years	6 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
19	<p>Contract Administration-Agency Copies: Files containing documentation pertaining to the acquisition of procuring physical goods, services, products, and personal property. Procurement files consists of contracts, requisitions, purchase orders work orders, invoices, and credit card statements. Organized by Fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (PASS)</p>			
a	<p>Under \$100,000</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary 3 Years</p>	<p>3 Years</p>	<p>None</p>
b	<p>\$100,000 +</p> <p>Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.</p>	<p>Temporary 6 Years</p>	<p>6 Years</p>	<p>None</p>
20	<p>Memorandum of Understanding (MOU) and Memorandum of Agreement (MOA): This record documents agreements between the agency and other District or Federal agencies to deliver services to a target population or constituency. Records include but are not limited to a statement of work, roles and responsibilities, and the administrative requirements such as retention and reporting. These records are organized by contract date.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared Drive)</p>			

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 [schedule number assigned by OPR]

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
a Under \$100,000	Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.	Temporary 3 Years	3 Years	None
b \$100,000 +	Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 6 years after cutoff, and then is prepared for confidential destruction.	Temporary 6 Years	6 Years	None
21	Travel Case Files: This record documents the request and approval process for staff to travel for business purposes. Records may include but are not limited to the request for travel, request for funding, requestor's name, and contact information, estimated cost, approval determination and expense reconciliation. Records are organized by last name, first name.  Restrictions: None  Media: Electronic (Shared Drive)  Temporary: Records close upon submission of expenses and cut off at the end of the fiscal year. Retain records for 2 years and then destroy.	Temporary 2 Years	2 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
22	<p>Risk Management Precautions File: This record documents the proactive methodology to meeting office safety and compliance regulations. This record may include but is not limited to the Emergency Response Plan, Continuity of Operations Plan, fire drill rosters, site violations and corrective actions. This record is organized by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Electronic (Shared drive)</p> <p>Temporary: Records close when superseded or obsolete, and cut off at the end of the fiscal year. Retain record for 2 years after cutoff and then destroy.</p>	Temporary 2 Years	2 Years	None
23	<p>Vehicle Operator's Acknowledgement Forms (Risk Management) - This record documents staff approved to drive a DC Government fleet vehicle. Records may include but are not limited to employee's driver license, employee's work location and title. Records are organized by employee name and fiscal year.</p> <p>Restrictions-PII</p> <p>Media- Paper</p> <p>Temporary: Records close upon termination of user's authority to operate a fleet vehicle and satisfaction of all personal responsibilities associated with the program (i.e.: payment of tickets) and cut off at the end of the fiscal year. Retain records for 1 year, and then destroy.</p>	Temporary 1 Year	1 Year	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
24	<p>Fleet Management and Fleet Share Accident Files: Record documents the date and time of the accident, parties involved, and other vital statistics required to maintain the program. Record may include references to litigation. This record is organized chronologically by fiscal year.</p> <p>Restrictions: None</p> <p>Media: Paper</p> <p>Temporary: Records close upon satisfaction of all financial and legal obligations associated with accident, including the exhaustion of all appeals and satisfaction of required actions by all parties. The records cut off at the end of the fiscal year and are retained for 3 years after cut off. The records are then transferred to the Record Center for additional retention.</p>	Temporary 6 Years	3 Years	3 Years
25	<p>Grant [Case] File: This record documents award and tracking of grants issued by the District of Columbia to nonprofit and other organizations. The funds are used to support the mission of the Office of Planning by backing efforts to preserve the history and culture of the District, and to make the District more inclusive, vibrant, and prosperous. Records include but are not limited to payment packages, grant applications, inspections, service plans, and bill backs for service. This record is organized by Grant number.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Shared Drive)</p> <p>Temporary: Records close upon expiration of the grant and cut off at the end of the fiscal year. Retain record for 3 years after cut off and then destroy.</p>	Temporary 3 Years	3 Years	none

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
26	<p>Donation Accountable Officer Record (Partnership &amp; Development)- This record documents utilization of funds received by the agency as donations. Donations may be received through the Mayor's Office of Partnerships and Grants (\$500 or more) or direct donations to the agency (less than \$500). Records may include but are not limited to drop off donation form, donor name, amount of donation, date, and purpose of donation. These documents are organized by Donor's Name and Fiscal Year.</p> <p>Restrictions-None</p> <p>Media- Paper/Electronic (Shared drive)</p> <p>Temporary: Records close and cut off at the end of the fiscal year.                      Retain records for 6 years after cut off and then destroy.</p>	<p>Temporary 6 Years</p>	6 Years	None

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## Human Resources

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
27	<p>Personnel Unit Records: The official personal records for the District of Columbia are maintained by DC Human Resources as a centralized function. Personnel records maintained within the agency may include but are not limited to:</p> <ul style="list-style-type: none"> <li>• Documentation related to hiring and separation,</li> <li>• Promotion documents,</li> <li>• Transfer documents,</li> <li>• Disciplinary actions, and</li> <li>• Letters of Commendation.</li> </ul> <p>Series is organized alphabetically by employee last name then first name.</p> <p>Restrictions: PII          Media: Paper/Electronic (Shared Drive)</p> <p>Temporary: Records close upon employee's transfer or separation and cut off at the end of the fiscal year. Retain record for 1 year after cutoff and then destroy.</p>	Temporary: 1 Year	1 Year	None
28	Exception Time Reporting: This record documents corrections to agency employees weekly time reporting. Corrections may be required due to a processing error, failure of the employee to input weekly reporting, lack of approval prior to the cut off by the manager, human resources or the Chief of Staff. Records may include but are not limited to timesheets and requests for adjustment. Records are organized in the personnel unit records.	Temporary 3 Years	3 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
	Restrictions: PII Media: Paper/Electronic (Shared Drive) Temporary: Records close weekly and cut off at the end of the fiscal year. Retain records for 3 years, after cut off and then destroy.			
29	Sexual Harassment Investigations: This record documents investigations into allegations of sexual harassment in compliance with Mayor's Order 2017-313. The record includes but is not limited to names of parties, investigation report, witness statements, statements from parties, and a determination with corrective or disciplinary actions. This record is organized by employee name. Restrictions: Restricted to Human Resources Media: Paper/Electronic (Shared drive) Temporary: Records close upon final determination or exhaustion of all appeals and cut off at the end of the fiscal year. Retain the record for 5 years, and then destroy.	Temporary 5 Years	5 Years	None

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**Administrative Records** The records covered in this section relate to routine internal administrative and housekeeping activities are generally facilitative or informational. They are *not basic program records and are not part of official program files*. They are often extra copies of documents whose record copies must be scheduled by submitting a request for records disposition authority.

Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
30	Asset Inventory (Facilities Manager) Inventory of physical assets (non-transitory) held by the agency, including furniture, technology equipment, or other physical assets. Inventories are organized by Control ID and Asset Name, and record both location and the last inventory date.  Restrictions: None  Media: Paper  Temporary: Records close and cut off when superseded. Retain records for 2 years after cut off, and then destroy.	Temporary 2 Years	2 Years	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
31	<p>Records Disposition Files (Records Manager) Basic documentation of records description and disposition programs, including but not limited to:</p> <ul style="list-style-type: none"> <li>• Retention Schedules</li> <li>• SF135-Records Transmittal and Receipt</li> <li>• Requests for Records Disposition Authority</li> <li>• Notice of intent to destroy</li> <li>• Confirmation of Destruction of Records</li> </ul> <p>Organized by date and type of file.</p> <p>Restrictions: None</p> <p>Media: Paper/Electronic (Agency Secure Network)</p> <p>Permanent: Records close and cut off at the end of the fiscal year. Retain in Agency permanently.</p>	Permanent	Permanent	None
32	<p>Working Papers Project background records, analyses, notes, drafts, and interim reports</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p> <p>a With Final Action</p> <p>Appraisal: Records close upon final action and cut off at the end of the fiscal year. Records are transferred within 30 days of cut off to the Record Center for Appraisal</p>	Appraisal required by DC Archivist		

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
b	With no Final Action  Temporary: Records close if no action is taken in three years from final report and cut off at the end of the fiscal year. Destroy upon cut off, or when the record is no longer needed for administrative or reference purposes.	Temporary 3 Years	3 Years	None
33	Administrative Files Records accumulated by individual offices that relate to the internal administration or housekeeping activities of the office rather than the functions for which the office exists.  Restrictions: None  Media: Paper and Electronic (Agency Secure Network)  Temporary: Records close and cut off at end of the fiscal year. Destroy when no longer needed for administrative or reference purposes.	Temporary Cutoff at end of Fiscal Year	None	None
34	Schedules of Daily Activities (Non-Senior Officials) Calendars, appointment books, schedules, logs, diaries, and other records documenting meetings, appointments, telephone calls, trips, visits, and other activities of D.C. employees.  Restrictions: None  Media: Paper and Electronic (Agency Secure Network)  Temporary: Records close and cut off at the end of the fiscal year. Destroy when no longer needed for administrative or reference purposes.	Temporary Destroy when no longer needed	Until no longer needed	None

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
35	<p>Mailing and Invitation Lists: This record identifies individuals and organizations that are to receive copies of newsletters, reports, invitations to events, and other issuances.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p> <p>Temporary: Records close and cut off upon conclusion of the event, meeting, conference, etc. Destroy records when no longer needed for administrative or reference purposes.</p>	<p>Temporary Destroy when obsolete or superseded</p>	<p>Until no longer needed</p>	<p>None</p>
36	<p>Suspense Files (Files noting actions to be taken) Papers arranged in chronological order as a reminder that an action is required on a given date or that a reply should be traced on a given date.</p> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p> <p>Temporary: Records close and cut off upon completion of review or action. Destroy records when no longer needed for administrative or reference purposes.</p>	<p>Temporary Destroy after action is taken</p>	<p>Until no longer needed</p>	<p>None</p>
37	<p>Transitory Files Papers of short-term interest which have no documentary or evidential value and normally need not be kept more than 90 days.</p> <p>Examples:</p> <ul style="list-style-type: none"> <li>• Letters of Transmittal</li> <li>• Quasi-Official notices</li> <li>• Memos and other papers that do not serve as basis for official action</li> <li>• Holiday notices</li> <li>• Charity notices</li> <li>• Bond Campaigns</li> </ul> <p>Restrictions: None</p> <p>Media: Paper and Electronic (Agency Secure Network)</p>	<p>Temporary Destroy when 3 months old or when no longer needed, whichever is sooner</p>	<p>3 Months</p>	<p>None</p>

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Series #	Records Series Description	Total Retention	Years in Office	Remaining Retention in Records Center
	Temporary: Records close upon completion of review or action and cut off at end of the quarter. Retain record for 3 months after cut off and then destroy when no longer needed for administrative, audit or reference purposes.			
38	Contract Administration-Agency Copies (Agency Procurement Staff) Files containing documentation pertaining to the acquisition of procuring physical goods, services, products, and personal property. Procurement files consists of contracts, requisitions, purchase orders work orders, invoices. Organized by Fiscal year.  Restrictions: None			
a	Media: Paper/Electronic (Agency Secure Network, PASS)	Temporary 3 Years	3 Years	None
b	\$100,000 +  Temporary: Records close when final payment is made or received and cut off at the end of the fiscal year. The record is retained for 3 years after cutoff, and then is prepared for confidential destruction.	Temporary 6 Years	6 Years	None

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**Non-Records**

Non-record materials are disposable upon agency authority. Please direct questions to the Office of Public Records for assistance.

Description
Duplicate copies of documents
Printed Reports from Computer Programs that can be recreated on-demand
Reference or Convenience Copies of official documents (i.e.: copies of Mayor's orders, or correspondence)
Working papers that don't impact or are not considered essential to a final decision regarding policies, laws, and regulations
Library or other reference materials or records maintained solely for convenience or reference
Blank forms
Materials relating to fringe activities of an agency such as charitable fund drives.